

PATENT  
CUSTOMER NUMBER, 34,986  
Docket No. 01064.0011-15-000

In The United States Patent and Trademark Office

In re Application of: )  
 )  
Richard LEVY ) Group Art Unit: 1714  
 ) (parent application)  
Serial No.: To be assigned )  
 ) Examiner: M. Medley  
Filed: To be assigned ) (parent application)  
 )  
37 C.F.R § 1.53(b) continuation of )  
parent application )  
Serial No.: 09/359,809 )  
Filed: July 23, 1999 )

For: LUBRICANT COMPOSITIONS AND  
METHODS

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(b)**

Pursuant to 37 C.F.R. §§ 1.56 and 1.97(b), applicant brings to the attention of the Examiner the documents listed on the attached five Forms PTO 1449. This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits for the above-referenced application.

Application No.: To be assigned  
37 C.F.R. § 1.53 (b) continuation  
of Serial No. 09/359,809

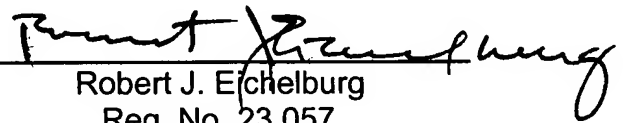
Copies of the listed documents were previously submitted in prior applications, Serial No. 09/359,809 filed July 23, 1999, which is a division of application Serial No. 08/943,123 filed October 3, 1997, which is a continuation in part of application Serial No. 08/487,436, filed June 7, 1995, all of which are incorporated herein by reference in their entirety and which applicant relies for the benefits provided in 35 U.S.C. § 120. Applicant respectfully requests that the Examiner consider the listed documents and indicate that they were considered by making appropriate notations on the attached five Forms PTO 1449.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If the Examiner applies any of the documents as prior art against any claim in the application and applicant(s) determine(s) that the cited document(s) do not constitute "prior art" under United States law, applicant reserves the right to present to the office the relevant facts and law regarding the appropriate status of such documents.

Application No.: To be assigned  
37 C.F.R. § 1.53 (b) continuation  
of Serial No. 09/359,809

Applicant further reserves the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

Respectfully submitted,  
THE LAW OFFICES OF ROBERT J. EICHELBURG

By:   
Robert J. Eichelburg  
Reg. No. 23,057

Dated: January 24, 2004

**CERTIFICATE UNDER 37 CFR § 1.10 OF  
MAILING BY "EXPRESS MAIL"**

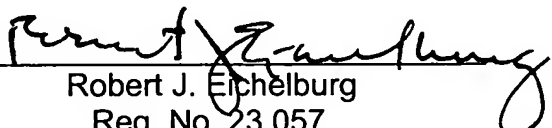
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January 24, 2004

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I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated above and bearing the USPS Express Mail Label Number indicated above addressed to the Commissioner for Patents, P. O. Box 1450, Alexandria, Virginia 22313-1450.

By:   
Robert J. Eichelburg  
Reg. No. 23,057

|   |                                  |                |
|---|----------------------------------|----------------|
| <b>FORM PTO-1449</b><br><br><b>INFORMATION DISCLOSURE STATEMENT</b><br><br><i>(Use several sheets if necessary)</i> | ATTY. DOCKET NO.                 | SERIAL NO.     |
|   | APPLICANT<br><b>Richard LEVY</b> |                |
|   | FILING DATE                      | GROUP ART UNIT |

| * Examiner's<br>Initials | DOCUMENT<br>NUMBER | DATE             | NAME      | CLASS | SUB-<br>CLASS | FILING DATE,<br>IF APPROPRIATE |
|--------------------------|--------------------|------------------|-----------|-------|---------------|--------------------------------|
|                          | 3,873,458          | March 25, 1975   | Parkinson |       |               |                                |
|                          | 4,486,319          | December 4, 1984 | Jamison   |       |               |                                |
|                          |                    |                  |           |       |               |                                |
|                          |                    |                  |           |       |               |                                |
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|                          |                    |                  |           |       |               |                                |

| * Examiner's<br>Initials | DOCUMENT<br>NUMBER | DATE          | COUNTRY        | CLASS | SUB-<br>CLASS | TRANSLATION<br>YES NO |  |
|--------------------------|--------------------|---------------|----------------|-------|---------------|-----------------------|--|
|                          | 0 043 182          | Jan. 6, 1982  | Europe         |       |               |                       |  |
|                          | 0 242 040          | Oct. 21, 1987 | Europe         |       |               |                       |  |
|                          | 0 317 684          | May 31, 1989  | Europe         |       |               |                       |  |
|                          | 2 207 146          | Jan. 25, 1989 | United Kingdom |       |               |                       |  |
|                          | WO<br>89/12449     | Dec. 28, 1989 | PCT            |       |               |                       |  |
|                          |                    |               |                |       |               |                       |  |

| OTHER INFORMATION (Including Author, Title, Date, Pertinent Pages, Etc.) |   |
|--|---|
|  | Derwent Abstract J04011697, dated Jan. 16, 1992, page 01/01 |
|  | PCT Search Report dated October 3, 1996, PCT/US96/10246     |
|  |   |

|   |                 |
|---|-----------------|
| EXAMINER  | DATE CONSIDERED |
| *EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. |                 |

|  |                  |            |
|--|------------------|------------|
| INFORMATION DISCLOSURE CITATION<br><br>(Use several sheets if necessary) | Atty. Docket No. | Serial No. |
|  | 1064.0011-       |            |
|  | Applicant        |            |
|  | Richard LEVY     |            |
|  | Filing Date      | Group      |
|  |                  | Unassigned |

## U.S. PATENT DOCUMENTS

| *Examiner<br>Initial | Document<br>Number | Date     | Name | Class | Sub<br>Class | Filing Date<br>If Appropriate |
|----------------------|--------------------|----------|------|-------|--------------|-------------------------------|
|                      | 4,983,389          | 01/08/91 | Levy |       |              |                               |
|                      | 4,985,251          | 01/15/91 | Levy |       |              |                               |
|                      |                    |          |      |       |              |                               |
|                      |                    |          |      |       |              |                               |
|                      |                    |          |      |       |              |                               |
|                      |                    |          |      |       |              |                               |
|                      |                    |          |      |       |              |                               |
|                      |                    |          |      |       |              |                               |

## FOREIGN PATENT DOCUMENTS

| Document<br>Number | Date | Country | Class | Sub<br>Class | Translation<br>Yes No |
|--------------------|------|---------|-------|--------------|-----------------------|
|                    |      |         |       |              |                       |
|                    |      |         |       |              |                       |
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|                    |      |         |       |              |                       |
|                    |      |         |       |              |                       |
|                    |      |         |       |              |                       |
|                    |      |         |       |              |                       |

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

|  |  |
|--|--|
|  | Kirk-Othmer, Encyclopedia of Chemical Technology, Second Ed. Vol. 12, pp. 557-609. |
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| Examiner | Date Considered |
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**INFORMATION DISCLOSURE CITATION**  
(Us several sheets if necessary)

| Atty. Docket No. 1064-011-   |                 |            |                 | Serial No.  |           |                               |
|--|-----------------|------------|-----------------|---|-----------|-------------------------------|
| Applicant:<br>Richard LEVY   |                 |            |                 |   |           |                               |
| Filing Date:   |                 |            |                 | Group:  |           |                               |
| <b>U.S. PATENT DOCUMENTS</b>   |                 |            |                 |   |           |                               |
| Examiner Initial*  | Document Number | Date       | Name            | Class   | Sub Class | Filing Date<br>If Appropriate |
|  | 5,611,981       | 03/18/97   | Phillips et al. | 264   | 130       |                               |
|  | 5,592,949       | 01/14/97   | Moench et al.   | 128   | 837       |                               |
|  | 5,443,899       | 08/22/95   | Barcus et al.   | 428   | 288       |                               |
|  | 5,534,304       | 07/09/96   | Geursen et al.  | 427   | 389.9     |                               |
|  | 5,389,166       | 02/14/95   | White           | 156   | 71        |                               |
|  | 5,342,686       | 08/30/94   | Guersen et al.  | 428   | 378       |                               |
|  | 5,268,229       | 12/07/93   | Phillips et al. | 428   | 400       |                               |
|  | 5,264,251       | 11/23/93   | Geursen et al.  | 427   | 389       |                               |
|  | 5,237,945       | 08/24/93   | White           | 112   | 420       |                               |
| <b>FOREIGN PATENT DOCUMENTS</b>  |                 |            |                 |   |           |                               |
|  | Document Number | Date       | Country         | Class   | Sub Class | Translation<br>Yes or No      |
|  | 0 630 434 B1    | 09/24/97   | EPO             |   |           |                               |
|  | 0 606 700 A1    | 07/19/93   | EPO             |   |           |                               |
|  | 0 596 038 B1    | 03/05/1997 | EPO             |   |           |                               |
| <b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>  |                 |            |                 |   |           |                               |
|  |                 |            |                 |   |           |                               |
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| Examiner   |                 |            |                 | Dat Consid red  |           |                               |
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|   |  |                 |          |   |       |           |                               |
|---|--|-----------------|----------|---|-------|-----------|-------------------------------|
| Atty. Docket No. <b>1064-011-</b>   |  |                 |          | Serial No.  |       |           |                               |
| Applicant:<br>Richard LEVY  |  |                 |          |   |       |           |                               |
| Filing Date:  |  |                 |          | Group:  |       |           |                               |
| <b>U.S. PATENT DOCUMENTS</b>  |  |                 |          |   |       |           |                               |
| Examiner Initial*   |  | Document Number | Date     | Name  | Class | Sub Class | Filing Date<br>If Appropriate |
|   |  | 5,160,789       | 11/03/92 | Barcus et al.   | 428   | 361       |                               |
|   |  | 5,049,235       | 09/17/91 | Barcus et al..  | 162   | 9         |                               |
|   |  | 4,740,528       | 04/26/98 | Garvey et al.   | 521   | 128       |                               |
|   |  | 4,056,103       | 11/01/77 | Kaczmarzyk et al.   | 128   | 285       |                               |
|   |  |                 |          |   |       |           |                               |
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| <b>FOREIGN PATENT DOCUMENTS</b>   |  |                 |          |   |       |           |                               |
|   |  | Document Number | Date     | Country   | Class | Sub Class | Translation<br>Yes or No      |
|   |  | 0 536 308 B1    | 02/02/94 | EPO   |       |           |                               |
|   |  | 0 507 875 B1    | 06/07/95 | EPO   |       |           |                               |
|   |  | 0 491 453 B1    | 07/15/98 | EPO   |       |           |                               |
|   |  | 0 482 703 B1    | 09/24/97 | EPO   |       |           |                               |
|   |  | 0 360 383 A2    | 07/04/89 | EPO   |       |           |                               |
|   |  | 0 360 383 A3    | 07/04/89 | EPO   |       |           |                               |
|   |  | 91/09916        | 07/11/91 | WO  |       |           |                               |
| <b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>   |  |                 |          |   |       |           |                               |
|   |  |                 |          |   |       |           |                               |
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| Examiner  |  |                 |          | Date Considered   |       |           |                               |
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|---|--|-----------------|----------|---|-------|-----------|----------------------------|
| Atty. Docket No. <b>1064-011-</b>   |  |                 |          | Serial No.  |       |           |                            |
| Applicant:<br>Richard LEVY  |  |                 |          |   |       |           |                            |
| Filing Date:  |  |                 |          | Group:  |       |           |                            |
| <b>U.S. PATENT DOCUMENTS</b>  |  |                 |          |   |       |           |                            |
| Examiner Initial*   |  | Document Number | Date     | Name  | Class | Sub Class | Filing Date If Appropriate |
|   |  | 5,733,490       | 03/31/98 | Phillips et al.   | 264   | 130       |                            |
|   |  | 5,728,742       | 03/17/98 | Staples et al.  | 521   | 57        |                            |
|   |  | 5,723,159       | 03/3/98  | Phillips et al.   | 425   | 461       |                            |
|   |  | 5,698,074       | 12/16/97 | Barcus et al.   | 162   | 9         |                            |
|   |  | 5,672,640       | 09/30/97 | Brauer  | 523   | 173       |                            |
|   |  | 5,672,277       | 09/30/97 | Parket et al.   | 210   | 689       |                            |
|   |  | 5,662,633       | 09/02/97 | Doak et al.   | 604   | 378       |                            |
|   |  | 5,626,154       | 05/06/97 | Rogers et al.   | 132   | 200       |                            |
|   |  | 5,617,877       | 04/08/97 | Moench et al.   | 128   | 837       |                            |
| <b>FOREIGN PATENT DOCUMENTS</b>   |  |                 |          |   |       |           |                            |
|   |  | Document Number | Date     | Country   | Class | Sub Class | Translation Yes or No      |
|   |  | 0 784 116 A2    | 07/16/97 | EPO   |       |           |                            |
|   |  | 0 784 116 A3    | 04/01/98 | EPO   |       |           |                            |
|   |  | 0 779 389 A2    | 06/18/97 | EPO   |       |           |                            |
|   |  | 0 779 389 A3    | 03/18/98 | EPO   |       |           |                            |
|   |  | 0 651 829 B1    | 05/06/98 | EPO   |       |           |                            |
| <b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>   |  |                 |          |   |       |           |                            |
|   |  |                 |          |   |       |           |                            |
|   |  |                 |          |   |       |           |                            |
| Examiner  |  |                 |          | Date Considered   |       |           |                            |
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